

**CONSULTANT SELECTION, NEGOTIATION AND CONTRACT MONITORING
PROCEDURES
FOR MUNICIPALLY-ADMINISTERED PROJECTS**

Revised December 2011

The Qualifications Based Selection (“QBS”) process is intended to promote open competition by advertising, ranking, selecting, and negotiating contracts based on demonstrated competence and qualifications for the type of engineering, design-related and construction inspection services being procured by the town or city (“Municipality”) for a project administered by the Municipality in accordance with an agreement with the State of Connecticut Department of Transportation (“Department”).

The QBS process to be used by the Municipality consists of the following steps:

1. Solicitation

The Municipality shall solicit, in conformance with federal law and regulations, including but not limited to, 40 U.S.C. § 1101-1104 (“Brooks Act”), 23 U.S.C. § 112, and 23 C.F.R. part 172, the qualifications of prospective consultants to perform services on a Municipally-administered project (“Project”), using at least one of the following methods:

- i. **Publication:** The Municipality shall prepare a Legal Notice by customizing only the indicated fields on the form attached hereto (entitled “Legal Notice Template”) and shall have the Legal Notice published in at least one (1) newspaper having substantial Connecticut circulation **and** at least one (1) trade publication, professional magazine or newsletter. When possible, the Legal Notice shall also be posted on the Municipality’s website. With respect to any other modifications the Municipality makes to the Legal Notice Template, the Municipality must obtain prior approval from the Department.
- ii. **Publication and Direct Notification:** The Municipality shall prepare a Legal Notice by customizing only the indicated fields on the form attached hereto (entitled “Legal Notice Template”) and shall insert the Legal Notice in at least one (1) newspaper having substantial Connecticut circulation. When possible, the Legal Notice shall also be posted on the Municipality’s website. **In addition**, the Municipality shall prepare a Notification Letter by customizing only the indicated fields on the form attached hereto (entitled “Notification for Letter of Interest Template”) and shall mail the Notification Letter to consulting firms prequalified by the Department. The list of prequalified firms is prepared annually by the Department and available from the Department’s website at www.ct.gov/dot. The Municipality must mail the Notification Letter to **ALL** prequalified consultant firms listed under the category of services most appropriate for the Project. With respect to any other modifications the Municipality makes to the Legal Notice Template and Notification Letter Template, the Municipality must obtain prior approval from the Department.

The Municipality shall obtain approval of its selected method of solicitation from the Department. Prior to publishing the Legal Notice and mailing the Notification Letter (as applicable), the Municipality shall obtain approval of those documents from the Department.

Each Project shall be reviewed by the Department's Screening Committee which assigns the appropriate Disadvantaged Business Enterprise (DBE) goal, Small Business Enterprise (SBE) goal or Small Business Participation Pilot Program (SBPPP) goal. The Municipality shall include the goal assigned for the Project in the Legal Notice and the Notification Letters, as applicable.

The deadline for prospective consultants or consultant firms to submit the requested information in response to the Legal Notice or Notification Letter shall be a minimum of thirty (30) days after the publication date of the Legal Notice or the postmark date of the Notification Letter, as applicable. This deadline should be noted in the Legal Notice or the Notification Letter, as applicable.

Solicitation Process – Actions and Approvals Summary:

- The Municipality selects a solicitation method
- The Department approves the solicitation method
- The Municipality prepares draft Legal Notice and/or Notification Letter
- The Department reviews and approves draft Legal Notice and/or Notification Letter prior to publication/mailing by Municipality

2. Selection

The Municipality shall establish a Consultant Selection Panel ("Panel") having three (3) or four (4) members, one of which must be designated Chairperson by the Municipality. All members of the Panel shall be Municipal officials or employees. At least one (1) member of the Panel shall be the Town/City Engineer, the Director of Public Works or other Municipal official or employee with considerable engineering, technical or other relevant specialized experience that possesses substantial knowledge about the Project. The member of the Panel designated as the Chairperson shall be the individual authorized to sign on behalf of the Municipality the agreement with the Department with respect to its administration of the Project and the agreement with the consultant for performance of services for the Project, or his/her designated representative. The names and titles of Panel members shall be provided to the Department for approval prior to the first official meeting of the Panel.

The Panel shall give fair and impartial consideration to all responses received within the specified time period from prospective consultants. The Municipality must confirm that the responding consultants are registered with the Secretary of the State of Connecticut, the State of Connecticut Board of Examiners for Professional Engineers and Land Surveyors, and any other applicable State of Connecticut licensing board.

Using the attached "Letter of Interest Rating Form" and "Letter of Interest Rating Summary Form" as samples, the Municipality shall develop individual and summary Letter of

Interest Rating Forms to be approved by the Department. Using the approved individual Letter of Interest Rating Form, each Panel member shall independently rate all consultant firms that have responded in accordance with the requirements advertised. The total score from each Panel member for each consultant firm evaluated shall be entered on the approved Letter of Interest Summary Form. The completed summary and individual Letter of Interest Rating Forms are then furnished to the Chairperson, who shall review and establish the five (5) top-ranked firms (the “short list”). The Panel shall request that each of those five (5) firms on the short list attend a personal interview with the Panel. All remaining firms shall be notified that they have not been selected for a personal interview. If five (5) or less consultant firms submit responses, the Panel shall interview all firms that have responded in accordance with the requirements advertised. The Municipality must receive approval of its short list from the Department prior to notifying firms and the scheduling of interviews.

Using the attached “Interview Rating Form” and “Interview Rating Summary Form” as samples, the Municipality shall develop individual and summary Interview Rating Forms and a list of proposed interview questions to be approved by the Department prior to scheduling interviews. The interview questions and related selection materials shall NOT be given out to prospective consultant firms or other outside parties in advance of the interviews.

During (or immediately following) each interview, each Panel member shall independently evaluate and rate each consultant firm using the approved individual Interview Rating Form. Subsequent to the completion of each consultant firm’s interview, the Panel members may discuss their observations, and each individual Panel member may enter and adjust their rating only on their own individual Interview Rating Form based on these discussions.

The total score from each Panel member for each consultant firm interviewed shall be entered on the approved Interview Rating Summary Form by one member of the Panel. The completed summary and all individual Interview Rating Forms are then furnished to the Chairperson. The Chairperson shall make the final selection from the list of all interviewed consultant firms submitted by the Panel. In the process of making the final selection of the most qualified consultant for a specific Project, the Chairperson shall utilize the evaluation criteria set forth in the Interview Rating Form. The Chairperson may request additional information from other sources or individuals that he or she deems appropriate (e.g., the Chairperson may contact references of the consultant firms) to assist in the final selection. All additional information requested and received shall be documented by the Chairperson. Should the Chairperson select a firm other than the top-rated firm following the interviews, the rationale for his/her selection shall be fully documented and should not violate the QBS requirements.

The Municipality shall not request, accept or consider any information relative to fees, costs, pay rates, etc. from any consultant firm or give preference to locally-based consultant firms in the evaluation, ranking, interview or selection of any consultant firm.

Once the Municipality has made its final selection, all of the interview rating materials along with any additional information reviewed by the Municipality for all of the interviewed firms shall be submitted to the Department for review. The Municipality must receive written

approval of its final selection from the Department prior to notifying the selected firm, the scheduling of the assignment meeting and the commencement of fee negotiations with respect to the Project. The Municipality shall prepare a written notification to the selected firm advising that the firm has been selected. The Municipality shall also prepare written notification to all other interviewed firms that the firm was not selected, but that it may be contacted should the fee negotiations with the selected firm not be successfully completed.

Selection Process – Actions and Approvals Summary:

- The Municipality establishes Consultant Selection Panel
- The Department reviews and approves Consultant Selection Panel
- The Municipality develops Letter of Interest Rating Forms
- The Department reviews and approves Letter of Interest Rating Forms
- The Municipality reviews responses received and prepares a Short List
- The Department reviews and approves the Short List
- The Municipality develops proposed interview questions and Interview Rating Forms
- The Department reviews and approves interview questions and Interview Rating Forms
- The Municipality notifies all responding firms of their status, conducts interviews of short-listed firms, and makes final consultant selection
- The Department reviews and approves **(in writing)** final consultant selection
- The Municipality notifies **(in writing)** all interviewed firms of their status

3. Assignment Meeting

After the Department's approval of the Municipality's consultant selection process, an assignment meeting will be arranged by the Municipality, at which all parties (i.e., Department, Municipality and selected firm) will discuss the scope of work, schedule and fee proposal format.

Following the assignment meeting, the selected firm shall draft a detailed scope of services and list of line item tasks which may be used as the basis for fee negotiations. The selected firm shall submit these drafted items to the Municipality for review and approval. The Municipality shall submit the proposed final scope of services to the Department for approval. Upon approval, both the Municipality and the selected firm shall then concurrently and independently prepare man-hour/fee proposals and submit them to the Negotiations Committee established by the Municipality in accordance with Section 4, "Negotiations."

Assignment Meeting Process – Actions and Approvals Summary:

- The Municipality conducts an assignment meeting
- The selected firm drafts a scope of services and submits it to the Municipality
- The Municipality reviews the scope of services
- The Department approves the scope of services
- The Municipality and selected firm prepare man-hour/fee proposals and submit them to the Negotiations Committee

4. Negotiations

The Municipality shall establish a Negotiations Committee (“Committee”) to perform the fee negotiations phase. The Committee should have three (3) or four (4) members, including at least two (2) individuals from the Consultant Selection Panel. All members of the Committee shall be Municipal officials or employees. At least one (1) member of the Committee shall be the Town/City Engineer, the Director of Public Works, or other Municipal official or employee with considerable engineering, technical or other relevant specialized experience that possesses substantial knowledge about the Project.

It is imperative that fee negotiations be a fair and open process. This means that if the Committee is unable to successfully negotiate a contract with the selected firm at a price that the Committee determines to be fair, competitive and reasonable, negotiations with that firm shall, with prior Department approval, be formally terminated. The Municipality shall then select the next highest-ranked firm from the interview process and submit all of that firm’s information to the Department for review and approval; the procedures set forth in Section 3 and this Section 4 shall again be followed.

The Committee shall comply with the requirements of Agreement Bulletin 91-3, Pre-Award Auditing of Consultant (copy attached).

Once the Committee successfully negotiates a fee with the selected firm (“Consultant”), the following must be submitted to the Department for review and approval:

1. Consultant’s fee proposal
2. Municipality’s fee proposal
3. Negotiated fee

Upon receipt of the Department’s written approval of the negotiated fee with the Consultant, the Municipality shall send a written notification to all other interviewed firms that they were not selected.

Negotiations Process – Actions and Approvals Summary:

- The Municipality establishes Negotiations Committee
- The Negotiations Committee negotiates a fee with the selected firm
- The Department reviews and approves (**in writing**) the negotiated fee
- The Municipality notifies all other interviewed firms (**in writing**) of their status

5. Agreements

Upon agreement of the fee, the Municipality shall enter into an agreement with the Consultant (“Consultant Agreement”). The Municipality shall draft the Consultant Agreement using agreement language and format provided by the Department and shall submit the draft to the Department for review and approval.

All Consultant Agreements are subject to the Department’s contracting requirements, including but not limited to insurance and audit requirements, and, if there is federal participation in funding for the Project, all applicable federal contracting requirements.

The Municipality must receive written approval from the Department for any Consultant Agreement, and any supplemental agreements thereto, prior to signature by the Municipality or the Consultant.

The Consultant Agreement must be fully executed before the commencement of any activities on the Project.

With respect to the agreement between the Municipality and the Department for the Project, a supplemental agreement and/or Project Authorization Letter (“PAL”), as applicable, between the parties may be required if the actual negotiated fee exceeds the amount of reimbursement specified in the original agreement and/or PAL, as applicable, and the Department has approved the increase in fees.

All costs incurred by the Municipality for advertising, consultant selection and fee negotiations are non-reimbursable under the agreement and/or PAL, as applicable, between the Department and the Municipality for the Project.

Agreement Process – Actions and Approvals Summary:

- The Municipality prepares a draft Consultant Agreement
- The Department reviews draft Consultant Agreement and issues **written** approval prior to signature by the Municipality or the Consultant.

6. Contract Monitoring

The "Consultant Administration and Project Development Manual," Connecticut Department of Transportation (September 2008), as may be revised, outlines the procedures and contract monitoring provisions that are employed for Department-administered projects and that the Municipality must likewise employ for its Consultant Agreements entered into for Municipally-administered Projects.

Consultant performance evaluations should be conducted by the Municipality on a semi-annual basis, using a form acceptable to the Department. A sample copy of the *Consultant Performance Evaluation Rating Form* is attached. The rating sheets should be completed by the Municipality and submitted to the Department every January and July, provided that the Consultant was actively working on a Project during the rating period.

A final Consultant performance evaluation for the Preliminary Engineering phase of the Project should be prepared by an appropriate Municipal official prior to the advertisement of the contract for the construction phase of the Project. Upon completion, Consultant performance evaluations for the Preliminary Engineering phase are to be submitted to:

Principal Engineer
Division of Highway Design – Local Roads
Connecticut Department of Transportation
2800 Berlin Turnpike
P.O. Box 317546
Newington, Connecticut 06131

A Consultant performance evaluation for the Construction Inspection phase shall be prepared in accordance with the procedure set forth in the Office of Construction's latest edition of the "Municipality Manual" – Consultant and Contractor Evaluations.

By agreement, the responsibility for settling all contractual and administrative issues with the Consultant rests solely with the Municipality, not the Department.

Contract Monitoring Process – Actions and Approvals Summary:

- The Municipality conducts Consultant performance evaluations and provides copies of the ratings to the Department

7. Confidentiality

The Panel and Committee shall maintain all rating information as confidential until execution of a Consultant Agreement. Any participating consultant firms wishing to discuss, in general terms, their initial submittals or their interview presentation may do so through the

Municipality's Chief Elected Official. Panel or Committee members shall not meet jointly or as a whole to discuss their evaluations with any consultant firm.

8. Revisions

The procedures and documents referenced in this Consultant Selection, Negotiation And Contract Monitoring Procedures For Municipally-Administered Projects are subject to revision by the Department, and, as may be applicable, the Federal Highway Administration. With respect to a particular Project, the Municipality shall comply with the version in effect at the time the Municipality commences the QBS process for the consultant services required on the Project.

LEGAL NOTICE TEMPLATE

LEGAL NOTICE: The **Town/City of _____** is seeking to engage the services of a Consulting Engineering firm to provide engineering services for the preparation of contract plans and documents for the following transportation project:

State Project No. _____ - Project Title
{Project description}

The Consulting Engineering firm selected may also be required to provide survey, prepare environmental documents and perform construction inspection. The projected construction cost is expected to be in the range of \$ **_____**.

Firms responding to this request should be of adequate size and sufficiently staffed to perform the assignment described above.

The Consulting Engineering firm will be evaluated and selected based on design and technical competence, the capacity and capability to perform the work within the time allotted, past record of performance, and knowledge of Federal, State, and Municipal procedures, appropriately weighted in descending order of importance.

The design fee will be negotiated on a Lump Sum basis.

{Choose the appropriate paragraph from the following three and delete the two that do not apply regarding DBE/SBE/SBPPP assignments}

For a DBE Goal:

The Disadvantaged Business Enterprise (DBE) sub consultant goal will be no less than **_____ percent (____%)** of the original agreement value.

For an SBE Goal:

Under Connecticut General Statute § 4a-60g, Connecticut has an established and on-going commitment to providing equal opportunity to Connecticut small (SBE) and minority owned business enterprises (MBE) to contract as a contractor for the Connecticut's purchased goods and services. You are advised that there is a **_____ percent (____%)** small business sub consultant goal that applies to this assignment. Within the letter of interest narrative, you must include the designated certified Small Business Enterprise (SBE) sub consultant(s) which you plan to use. (The SBE sub consultants must be currently certified by the Department of Administrative Services). All firms are advised that the prime consultant must perform the major part of the work with employees of the firm. Sub consultants may be used to comply with (SBE) requirements or perform specialized work. Joint venturing assignments will not be allowed.

For an SBPPP Assignment:

The Consulting Engineering firm selected for this project must meet the requirements of the Small Business Participation Pilot Program (SBPPP).

To be eligible to participate in the SBPPP, firms must be currently certified as one of the following: a Connecticut Department of Transportation certified Disadvantaged Business Enterprise (DBE), a Connecticut Department of Administrative Services (DAS) certified Small/Minority Business Enterprise (SBE/MBE), or certified under one of the United States Small Business Administration's Programs; (8(a) firm; Small Disadvantaged Business(SDB); HUB Zone; US SBA Loan recipient (Loan Note documentation required).

The selected firm must meet all Municipal, State, and Federal affirmative action and equal employment opportunity practices.

A letter of interest, together with general information on the firm and proposed sub consultants, the firm's brochure, current Federal Form SF330, experience of the firms, and resumes of key personnel shall be addressed to: {Town/City contact} {address}. Additionally, all interested firms must submit a detailed statement including the organizational structure under which the firm proposes to conduct business. Proposed sub consultants should be clearly identified. The relationship to any "parent" firm or subsidiary firm, with any of the parties concerned, must be clearly defined.

Personnel in responsible charge of the projects will be required to possess and maintain a valid Connecticut Professional Engineer's License. All letters of interest must be postmarked by a U.S. Post Office (if mailed) or brought to {location}, at the above address (if hand delivered) no later than {time} on {date}. Responses received or postmarked after this date will not be considered.

NOTIFICATION FOR LETTER OF INTEREST TEMPLATE

{Date}

Ladies/Gentlemen:

Subject: **Request for Letter of Interest**

State Project No. _____

Federal-aid Project No. _____

Project Title _____

Town/City of _____

Your firm is one of the firms that have been pre-qualified for this calendar year by the Connecticut Department of Transportation to provide {type of services appropriate for project} services.

The {Town/City of _____} is seeking to engage the services of a Consulting Engineering firm to perform design services for {project title and limits}. The improvements will include {brief description of the project elements}.

Successful applicants to this request may be required to provide survey, prepare environmental documents and perform construction inspection. Additionally, firms responding to this request should be of adequate size and sufficiently staffed to perform the assignment described above.

If your firm desires to be considered for this assignment, your submittal should consist of a letter of interest, together with general information on the firm and proposed sub consultants, the firm's brochure, current Federal Form SF330, experience of the firms, and resumes of key personnel. Additionally, all interested firms must submit a detailed statement including the organizational structure under which the firm proposes to conduct business. Proposed sub consultants should be clearly identified. The relationship to any "parent" firm or subsidiary firm, with any of the parties concerned, must be clearly defined. {Number of copies} of the submittal must be postmarked by {date} (if mailed) or brought to {Town/City contact} at the address below (if hand delivered) no later than {time} of that date. Responses received or postmarked after this date will not be considered.

Your firm will be evaluated and selected based on design and technical competence, the capacity and capability to perform the work within the time allotted, past record of performance, and knowledge of Federal, State, and Municipal procedures, appropriately weighted in descending order of importance. The selected firm must meet all Municipal, State, and Federal affirmative action and equal employment opportunity practices.

{Choose the appropriate paragraph from the following three and delete the two that do not apply regarding DBE/SBE/SBPPP assignments}

For a DBE goal:

You are advised that there is a _____ percent (____ %) disadvantaged business sub consultant goal that applies to this assignment. Within the letter of interest narrative, you must include the designated certified Disadvantaged Business Enterprise (DBE) sub consultant(s) which you plan to use. (The DBE sub consultants must be currently certified by the Department). All firms are advised that the prime consultant must perform the major part of the work with employees of the firm. Sub consultants may be

used to comply with (DBE) requirements or perform specialized work. Joint venturing assignments will not be allowed.

For an SBE goal:

Under Connecticut General Statute § 4a-60g, Connecticut has an established and on-going commitment to providing equal opportunity to Connecticut small (SBE) and minority owned business enterprises (MBE) to contract as a contractor for the Connecticut's purchased goods and services. You are advised that there is a _____ percent (____%) small business sub consultant goal that applies to this assignment. Within the letter of interest narrative, you must include the designated certified Small Business Enterprise (SBE) sub consultant(s) which you plan to use. (The SBE sub consultants must be currently certified by the Department of Administrative Services). All firms are advised that the prime consultant must perform the major part of the work with employees of the firm. Sub consultants may be used to comply with (SBE) requirements or perform specialized work. Joint venturing assignments will not be allowed.

For an SBPPP assignment:

You are advised that the Consulting Engineering firm selected for this project must meet the requirements of the Small Business Participation Pilot Program (SBPPP). To be eligible to participate in the SBPPP, firms must be currently certified as one of the following: a Connecticut Department of Transportation certified Disadvantaged Business Enterprise (DBE), a Connecticut Department of Administrative Services (DAS) certified Small/Minority Business Enterprise (SBE/MBE), or certified under one of the United States Small Business Administration's Programs; (8(a) firm; Small Disadvantaged Business(SDB); HUB Zone; US SBA Loan recipient (Loan Note documentation required).

Prior to the negotiation process, the selected firm will be required to have a Connecticut Department of Transportation-approved audit and affirmative action plan, as well as current corporate registration with the Secretary of State (partnerships excluded). The selected firm will also be required to maintain professional liability insurance coverage from a firm licensed to do business in the State of Connecticut. Proof of coverage must be submitted prior to the start of the negotiations process.

Circumstances may require the rescheduling or cancellation of projects. Should this action be necessary, the {Town/City} would be under no obligation to provide supplementary work.

All letters of interest shall be addressed to:

{Town/City contact}
{Address}.

Please be advised that firms must also be pre-qualified in the particular year a shortlist is finalized and/or a selection is made.

Very truly yours,
{Purchasing agent}
{Title}

LETTER OF INTEREST RATING FORM

STATE PROJECT NO. _____

FEDERAL PROJECT NO. _____

PROJECT DESCRIPTION: _____

NAME OF FIRM: _____

CRITERIA	MAXIMUM POINTS	POINT RATING
Specialized Design and Technical Competence	40	_____
Capacity and the Capability to perform the work within the time allotted	30	_____
Past Record of Performance on Contracts with the Town and other Clients with respect to such factors as control of costs, quality of work, and cooperation with the client.	20	_____
Knowledge of Federal, State and Municipal Procedures	10	_____
TOTAL	100	_____

PREPARED BY: _____
Printed Name of Panel Member

SIGNATURE OF PANEL MEMBER: _____ Date: _____

LETTER OF INTEREST RATING SUMMARY FORM

STATE PROJECT NO. _____

FEDERAL PROJECT NO. _____

PROJECT DESCRIPTION: _____

CONSULTANT FIRM	INDIVIDUAL PANEL MEMBER POINT RATINGS				TOTAL POINTS
	(1)	(2)	(3)	(4)	
1. _____	_____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____	_____

SUMMARY PREPARED BY: _____
Printed Name of Consultant Selection Panel Member

SIGNATURE OF PREPARER: _____ DATE: _____

REVIEWED/APPROVED BY: _____ DATE: _____
Signature of Chairperson
Consultant Selection Panel

PRINTED NAME OF CHAIRPERSON: _____

INTERVIEW RATING FORM

STATE PROJECT NO. _____

FEDERAL PROJECT NO. _____

PROJECT DESCRIPTION: _____

NAME OF LEAD FIRM: _____

LOCATION OF OFFICE: _____

NAME OF SUB-CONSULTANT FIRM: _____
(If applicable)

QUESTION	MAXIMUM POINTS*	POINT RATING
1.		_____
2.		_____
3.		_____
4.		_____
5.		_____
6.		_____
7.		_____
TOTAL	100	_____

PREPARED BY: _____
Printed Name of Panel Member

SIGNATURE OF PANEL MEMBER: _____ Date: _____

Note: Maximum point values for each question to be appropriately weighted based on critical project design elements and number of questions.

INTERVIEW RATING SUMMARY FORM

STATE PROJECT NO. _____

FEDERAL PROJECT NO. _____

PROJECT DESCRIPTION: _____

CONSULTANT FIRM	INDIVIDUAL PANEL MEMBER POINT RATINGS				TOTAL POINTS
	(1)	(2)	(3)	(4)	
1. _____	_____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____	_____

SUMMARY PREPARED BY: _____
Printed Name of Consultant Selection Panel Member

SIGNATURE OF PREPARER: _____ DATE: _____

CONSULTANT FIRM SELECTED: _____

REVIEWED/APPROVED BY: _____ DATE: _____
Signature of Chairperson
Consultant Selection Panel

PRINTED NAME OF CHAIRPERSON: _____

CONSULTANT PERFORMANCE EVALUATION

STATE PROJECT NO. _____

FEDERAL PROJECT NO. _____

PROJECT DESCRIPTION: _____

FIRM NAME: _____

Numerical Scale: 0-20

Excellent 20
Very Good 19-16
Good 15-12

Acceptable 11-8
Poor 7-4
Unacceptable 3-0

Rating Period: (circle one)

January 1 – June 30

July 1 – December 31

Criteria	Point Rating
Firms Operations (Chain of Command)	_____
Technical (Ability & Knowledge)	_____
Procedural (Operations & Knowledge)	_____
Continual Supervision (Internal & External)	_____
Quantity of Work (Schedule – time- days)	_____
Quality of Work (Numerical Rating Scale)	_____
Extra Work Claims (Errors or Omissions)	_____
Financial Items (Const. Order – Est. - Billings)	_____
Cooperation (Direct & Indirect)	_____

Average Rating _____

Evaluated by: _____
TOWN/CITY ENGINEER OR PROJECT MANAGER

Accepted by: _____
FIRST ELECTED OFFICIAL OR TOWN /CITY MANAGER

STATE OF CONNECTICUT

DEPARTMENT OF TRANSPORTATION

July 15, 1991

AGREEMENT BULLETIN NO. 91-3

TO: ALL CONCERNED

FROM: Thomas J. Perrone *[Signature]*
Director of Documents Processing
Bureau of Administration

Re: PRE-AWARD AUDITING OF CONSULTANTS

The Negotiations Committee will request a pre-award audit to be performed of all consultants and subconsultants involved with proposed projects with the Department, that meet the following criteria:

1. An audit evaluation prior to the negotiation of proposals for which the total costs exceed, or are expected to exceed, \$250,000.
2. Audit evaluations of proposals of less than \$250,000 where a valid need exists, such as:
 - (a) Inadequate knowledge concerning the prospective consultant's/subconsultant's accounting policies, cost systems, or substantially changed methods or levels of operation;
 - (b) Previous unfavorable experience indicating doubtful reliability of the prospective consultant's/subconsultant's estimating, accounting, or purchasing methods.
3. The pre-award audit will be performed in accordance with CFR Title 23 and CFR Title 48 Chapter 1, Federal Acquisition Regulation, Subparts 31.0, 31.1 and 31.2, and Office of Policy and Management's General Letter No. 80-5 dated May 28, 1980 (and subsequent revisions).

This Agreement Bulletin No. 91-3 supersedes Agreement Bulletin No. 84-2 previously dated March 28, 1984.

Please disseminate this information to all those persons having a need to know.

Valerie C. Joyner/nam

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Director Of Documents Processing

List #2